



**Federal Fish and Wildlife License/Permit Application Form**

**Return to:**

Division of Management Authority  
U.S. Fish and Wildlife Service  
4401 N. Fairfax Drive, Room 700  
Arlington, VA 22203  
1-800-358-2104 or 703-358-2104

**Type of Activity:**

Take/Transport/Export of Marine Mammals

<b>A. Complete if applying as an individual</b>					
1.a. Last name:		1.b. First name:		1.c. Middle name or initial:	1.d. Suffix
1.e. Doing business as (dba):		2.a. Street Address (line 1):		2.b. Street Address (line 2):	
2.c. Street address (line 3):		3.a. City:	3.b. County:	3.c. Province:	3.d. State:
3.e. Zip code or postal code:	3.f. Country (only for non-commercial):		4. Date of birth (mm/dd/yyyy):	5. Social Security No:	
6. Occupation:		7. List of any business, agency, organizational, or institutional affiliation associated with the wildlife or plants to be covered by this license or permit:			
8. Home telephone number:	9. Work telephone number:	10. Fax number:		11. E-mail address:	

<b>B. Complete if applying as a business, corporation, public agency or institution</b>					
1.a. Name of business, agency, or institution:		1.b. Doing business as (dba):		2. Tax identification no.:	
3.a. Street address (line 1):		3.b. Street address (line 2):		3.c. Street address (line 3):	
4.a. City:		4.b. County:		4.c. State:	4.d. Zip code:
5.a. Principal officer - Last name:		5.b. First name:		5.c. Middle name or initial	5.d. Suffix
5.e. Principal officer title:		6. Describe the type of business, agency, or institution:			
7. Home telephone number:	8. Work telephone number:	9. Fax number:		10. E-mail address:	

<b>C. All applicants complete</b>	
1. Do you currently have or have you had any Federal Fish and Wildlife License or Permit? Yes      If yes, list the number of the most recent license or permit you hold:      No	
2. Have you obtained any required state or foreign government approval to conduct the activity you propose? Yes      If yes, provide a copy of the license or permit.      No      Not Required	
3. Attachments: Complete the additional pages of this application. Application will not be considered complete without these pages. Incomplete applications may be returned.	
4. Enclose check or money order payable to the U.S. FISH AND WILDLIFE SERVICE in the amount of \$25. Institutions which qualify under 50 CFR 13.11(d)(3) may be exempt from fees.	
5. <b>Certification:</b> I hereby certify that I have read and am familiar with the regulations contained in Title 50, Part 13, of the Code of Federal Regulations and the other applicable parts in subchapter B of Chapter I of Title 50, and I further certify that the information submitted in this application for a license or permit is complete and accurate to the best of my knowledge and belief. I understand that any false statement herein may subject me to the criminal penalties of 18 U.S.C. 1001.	
6. Signature (in ink) of applicant or person responsible for permit in Block A or B	7. Date (mm/dd/yyyy):

## D. TAKE/IMPORT/TRANSPORT/EXPORT OF MARINE MAMMALS

**Note:** This application is for the take, import, transport, or export of marine mammal species under the jurisdiction of Fish & Wildlife Service (sea otters, marine otters, polar bears, walrus, manatees, and dugongs). For export/re-export of captive-held live animals or previously acquired parts or biological samples authorized under a Marine Mammal Protection Act permit, use Form 3-200-53.

*Please provide the following information on a separate sheet of paper (Mark those that are not applicable with "N/A").*

1. Common and scientific names (and subspecies if applicable) for each species you are applying.
2. Type of activity requested: Take, Import, Transport, and/or Export.
3. Purpose of activity: Public Display, Scientific Research, and/or Enhancement.
4. If you are requesting **renewal or amendment** of an existing permit between reporting dates, include an update of any activity that has occurred under the permit since the last report.
5. For EACH species, provide the following information:
  - a. The quantity (e.g., 2 animals and 20 samples per year);
  - b. Complete description (e.g., birth date; sex, if known; and identifying features, such as tattoo #, ISIS#; or if biological samples, the size of the sample);
  - c. Whether the animal was lactating, or pregnant near term (adult) or nursing (juvenile less than eight months old) when taken; and,
  - d. The current location of the animal or specimen (address and country).
6. Provide complete information on the **source of the marine mammals** including:
  - a. For **captive-born animals**, a breeder's statement or other information that documents the animal was born in captivity;
  - b. For **captive-held animals that were taken from the wild**, information on the source of the animals including any permit number under which the animal was originally collected and the age as well as reproductive status at time of collection from the wild, if known; or
  - c. For animals to be taken from the **wild**, provide a description of the efforts made to utilize captive animals or parts thereof, in lieu of taking animals from the wild. Also, provide a population estimate for the species.
7. For activities involving **TAKE** of captive or wild animals and/or harassment of wild animals, respond to the following:
  - a. Provide a description of the specific activities (e.g., capture, tag, radio tag, kill, etc.) to which each animal will be subjected and the number of times that each animal will be taken.
  - b. If this species is protected under the Endangered Species Act (ESA), attach a justification for taking an ESA-listed species rather than taking a similar non-ESA-listed species.
  - c. A statement with the names and qualifications of collector(s) and other personnel involved in the collection (curricula vitae may be submitted), the holding time required prior to transport or release, and a description of the method of capture and gear.

- d. List your activities, which will or may cause harassment, the number of animals that may be harassed, the precautions that will be taken to minimize the likelihood that harassment will occur, and the actions taken should harassment occur.
  - e. Use of drugs: describe the purpose of using the drug(s), method of application, kind and combination of drugs and dosage rates (ml/kg), the required holding time as well as provisions to minimize adverse reaction(s), minimize the chance that drugged animals will escape prior to complete immobilization, and to ensure that the animal is fully recovered prior to release.
  - f. Marking/tagging: describe the type of tag (including weight and size), the number of tags to be applied per animal, the number of animals to be tagged, methods and location of attachment, whether recapture will be necessary (if so, how many times), whether the mark/tag has been used previously on this species, what are the known adverse effects, the means of monitoring new marks/tags for adverse effects, the actions to be taken in the event that the marking/tagging has significant adverse impact on the animal(s), and the method of release.
8. For activities involving **IMPORT**, provide the name of the exporting country and, if applicable, the country and age when taken from the wild, whether the animal was pregnant, lactating, or nursing at the time of taking, and a description of the manner in which it was taken from the wild.
9. For activities involving **TRANSPORT of live animals**, state the means of transportation, provide the dimensions and construction of the container or cage, the qualifications of the person accompanying the animal, the duration of transit(s), arrangements for watering or otherwise caring for the wildlife during transport, and ATTACH a certification by a licensed veterinarian that the transportation plans are adequate.
10. For activities involving **EXPORT**, provide:
- a. Name and address of person/facility receiving the shipment;
  - b. For **CITES Appendix I species**, a copy of the CITES permit or evidence one will be issued by the Management Authority of the country of the recipient.
11. For **maintenance of live animals** provide:
- a. A complete description, including photographs and/or diagrams (**no blueprints**), of the area and facilities where the animals will be held (including the dimensions of pools and haul-out areas), the number of animals of the same species (include age and sex) presently maintained at the facilities, and whether there is space for additional animals without exceeding USDA/APHIS standards.
  - b. A statement (or attach curricula vitae) of the animal caretakers, which describes their specific experience in the care, handling, and maintenance of marine mammals.
  - c. A list of other marine mammals maintained at the facility.
  - d. A description of all marine mammal deaths at the facility within the past five years and the steps taken to prevent or decrease similar mortalities.
  - e. For **domestic facilities**, a copy of your APHIS, AWA license, or for **foreign facilities**, a copy of the letter from USDA/APHIS which confirms that the recipient meets comparable standards under the AWA for maintenance and care of marine mammals.

- f. For **foreign facilities**, a certification from the appropriate government agency of the importing country (i.e., the CITES Management Authority) to show that:
  - i. The laws and regulations of that government permit enforcement of the permit conditions;
  - ii. The conditions will be enforced; and,
  - iii. The government will afford comity to the USFWS to amend, suspend or revoke the permit, if issued.

12. Additional requirements for public **display**:

- a. Provide information to show that the facility is open to the general public without limitations or restrictions (other than by the charging of an admission fee).
- b. Provide information to show that the facility offers a program for education or conservation purposes that is based on professionally recognized standards of the public display community.

13. Additional requirements for **scientific research**:

- a. Attach a copy of the formal research proposal or contract or else a detailed description of the proposed project, objectives, anticipated results, disposition of specimen material or animals, and how the proposed project will enhance or benefit the wild population.
- b. If the research involves incidental or intentional mortal takes, provide the number of deaths requested/anticipated, a justification as to why the research should be conducted, and the steps to be taken to reduce the likelihood of the number of incidental deaths or deaths in excess of that authorized.

14. Additional requirements for **enhancement**:

- a. Provide information to show that the activity is likely to contribute significantly to maintaining or increasing the distribution or population numbers necessary to ensure the survival or recovery of the species or stock.
- b. Provide information to show that the activity is consistent with any conservation plan or recovery plan for the species or stock, or if there are no such plans, that the activity is consistent with the actions required to enhance the survival or recovery of the species or stock that would be addressed in a conservation or recovery plan.

15. If any of the requirements for information been waived, indicate what information requirements have been waived and provide the basis for the waiver(s).

16. List the **U.S. port** through which the import or export will occur. If no port is indicated, import or export must be through a designated port for wildlife (see enclosed list).

## PERMIT APPLICATION FORM INSTRUCTIONS

The following instructions pertain to the standard License/Permit Form 3-200 that must be completed as an application for a U.S. Fish and Wildlife Service permit. The General Permit Procedures in 50 CFR 13 address the permitting process.

- \* Complete all appropriate blocks/lines. Print clearly or type in the information. *A complete application prevents delays!*
- \* Sign the application *in ink* and send an *original* to the address on the top of the application. Faxed copies will not be accepted.
- \* Applications will be processed in the order they are received.

Most of the application form is self-explanatory, but the following provides some further assistance for completing the form.

### COMPLETE EITHER BLOCK A OR BLOCK B:

- Block A. **"Complete if applying as an individual"** - Enter the complete name of the responsible party who will be the permittee if a permit is issued. Enter personal information that identifies the applicant. All blocks must be completed. If you are applying on behalf of a client, the personal information must pertain to the client. A notarized document stating power of attorney must be included with the application.
- Block B. **"Complete if applying as a business, corporation, public agency or institution"** - Enter the complete name and address of the business, agency or institution who will be the permittee if a permit is issued. Give a brief description of the type of business the applicant is engaged in, the name and phone number of the person in charge, and if the company is incorporated, the state in which it was incorporated.

### ALL APPLICANTS COMPLETE BLOCK C:

- Block C.1 **"Do you currently have or have you had any Federal Fish and Wildlife license or permit?"** - List the number of any FWS or CITES permits. If applying for a renewal, the original permit must be returned with this application.
- Block C.2 **"Have you obtained any required state or foreign government approval to conduct the activity you propose?"** - If the proposed activity is regulated, check the appropriate box. If "yes," list the State or foreign countries involved and type of document required. Include a copy of these documents with the application. If "no" indicate what steps you have taken to secure approval (use attachment if necessary). If the proposed activity is not regulated check "not required".
- Block C.3 **"Attachments"** - Consult the fact sheet or regulation. Provide any required additional information outlined on the supplemental page(s) of the application form. Be as complete and descriptive as possible. If there is any doubt as to the information's relevance, include it with the application. An incomplete or unclear application may cause delays in processing.
- Block C.4 **"Check or money order (if applicable)"** - There is a permit processing fee unless you are fee exempt. Consult the enclosed APPLICATION PROCESSING FEE information. Make the check or money order payable to the "U.S. Fish and Wildlife Service" and attach it to the application form. If you are fee exempt, write "exempt" in this space.
- Block C.5 **"CERTIFICATION"** - The **individual applicant in Block A, the person named in Block B, or person with power of attorney must sign and date** the application in ink. This signature binds that person to the statement of certification. This means that you certify that you read and understood the regulations that apply to the permit. You also certify that everything included in the application is true to the best of your knowledge. Be sure to read the statement and re-read the application before signing.

APPLICATION FOR A FEDERAL FISH AND WILDLIFE LICENSE/PERMIT  
Paperwork Reduction Act and the Privacy Act – Notices

In accordance with the Paperwork Reduction Act of 1995 (44 U.S.C. 3501, et seq.) and the Privacy Act of 1974 (5 U.S.C. 552a), please be advised that:

1. The gathering of information on fish and wildlife is authorized by:
  - (a) Bald Eagle Protection Act (16 U.S.C. 663a);
  - (b) Endangered Species Act of 1973 (16 U.S.C. 1539);
  - (c) Migratory Bird Treaty Act (16 U.S.C. 703-711);
  - (d) Marine Mammal Protection Act of 1972 (16 U.S.C. 1371-1383);
  - (e) Wild Bird Conservation Act (16 U.S.C. 4901-4916);
  - (f) Lacey Act (18 U.S.C. 42 & 44);
  - (g) Convention on International Trade in Endangered Species of Wild Flora and Fauna (TIAS 8249);
  - (h) Title 50, Part 10, of the Code of Federal Regulations;
  - (i) Title 50, Part 13, of the Code of Federal Regulations;
  - (j) Title 50, Part 14, of the Code of Federal Regulations;
  - (k) Title 50, Part 17, of the Code of Federal Regulations;
  - (l) Title 50, Part 21, of the Code of Federal Regulations;
  - (m) Title 50, Part 22, of the Code of Federal Regulations; and
  - (n) Title 50, Part 23, of the Code of Federal Regulations.
2. Information requested is this form is purely voluntary. However, submission of requested information is required in order to process applications for licenses or permits authorized under the above acts. Failure to provide all requested information may be sufficient cause for the U.S. Fish and Wildlife Service to deny a permit. Response is not required unless a currently valid Office of Management and Budget (OMB) control number is displayed.
3. Certain applications for permits authorized under the Endangered Species Act of 1973 (16 U.S.C. 1539) and the Marine Mammal Protection Act of 1972 (16 U.S.C. 1371-1383) will be published in the Federal Register as required by the two acts.
4. Routine use disclosures may also be made:
  - (a) To the U.S. Department of Justice when related to litigation or anticipated litigation;
  - (b) Of information indicating a violation or potential violation of a statute, regulation, rule, order or license to appropriate Federal, State, local or foreign agencies responsible for investigation or prosecuting the violation or for enforcing or implementing the statute, rule, regulations, order or license;
  - (c) From the record of an individual in response to an inquiry from a Congressional office made at the request of that individual (42 FR 1903; April 11, 1977);
  - (d) To subject matter experts, and State and other Federal agencies, for the sole purpose of obtaining advice relevant to issuance of the permit.
5. For individuals, personal information such as home address and telephone number, financial data, and personal identifiers (social security number, birth date, etc.) will be removed prior to any release of the application.
6. The public burden for this information collection varies depending on the activity for which a permit is requested. The relevant burden for an Take/Import/Transport/Export of Marine Mammals application is four (4) hours. This burden estimate includes time for reviewing instructions, gathering and maintaining data and completing and reviewing the form. You may direct comments regarding the burden estimate or any other aspect of the form to the Service Information Clearance Officer, U.S. Fish and Wildlife Service, Mail Stop 222, Arlington Square, U.S. Department of the Interior, 1849 C Street, NW, Washington D.C. 20240.

**Freedom of Information Act – Notice**

For organizations, businesses, or individuals operating as a business (*i.e.*, permittees not covered by the Privacy Act), we request that you identify any information that should be considered privileged and confidential business information to allow the Service to meet its responsibilities under FOIA. Confidential business information must be clearly marked "Business Confidential" at the top of the letter or page and each succeeding page and must be accompanied by a non-confidential summary of the confidential information. The non-confidential summary and remaining documents may be made available to the public under FOIA [43 CFR 2.13(c)(4), 43 CFR 2.15(d)(1)(i)].

**APPLICATION PROCESSING FEE**

The fee to process a Take/Import/Transport/Export of Marine Mammals application is \$25.00. Checks should be made payable to "U.S. Fish and Wildlife Service." The fee applies to new permit applications, renewals, and amendments. The processing fee shall not be refunded if the permit is issued or denied, or if the application is abandoned. The fee schedule does not apply to any Federal, State, or local government agency or individual or institution under contract to such agency for the proposed activities. Until further notice, the fee will be waived for public institutions. As defined in 50 CFR 10.12 - "Public as used in referring to museums, zoological parks, and scientific or educational institutions, refers to such as are open to the general public and are either established, maintained, and operated as a governmental service or are privately endowed and organized but not operated for profit."